



**Consulting and Technical Services (CATS)
Task Order Request for Proposals (TORFP)**

Oracle Database Administration Technical Services

CATS TORFP PROJECT NUMBER J02P6200017

**Maryland Department of Transportation
State Highway Administration**

**ISSUE DATE: April 27, 2006
OIT-06-SHA-010**

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KEY INFORMATION SUMMARY SHEET

This Consulting and Technical Services (CATS) Task Order Request for Proposals (TORFP) is issued to obtain the services necessary to satisfy the requirements defined in Section 2 – Scope of Work. All CATS Master Contractors approved to perform work in the functional area under which this TORFP is released are invited to submit a Task Order (TO) Proposal to this TORFP. Those Master Contractors deciding not to submit a TO Proposal are required to submit the reason(s) why per Section 3.1 of the TORFP. In addition to the requirements of this TORFP, the Master Contractors are subject to all terms and conditions contained in the CATS RFP issued by the Maryland Department of Budget and Management (DBM), Office of Information Technology (OIT) and subsequent Master Contract Project Number 050R5800338, including any amendments.

Although information from the Contractors must be sent to concurrent individuals as stated in this Key Information Summary Sheet, all correspondence from MDOT to the Contractors shall be sent only by the MDOT Contracts Manager or designee.

TORFP NAME:	Oracle Database Administration Technical Services
FUNCTIONAL AREA:	FA1 – Enterprise Service Provider
TORFP ISSUE DATE:	April 27, 2006
Closing Date and Time:	May 22, 2006 at 12:00 PM
TORFP Issuing Office:	Maryland Department of Transportation (MDOT) State Highway Administration (SHA) Office of Information Technology (OIT)
Questions and Proposals are to be sent to:	TO Procurement Officer - Melissa Barnes Email Address: oit@sha.state.md.us
Questions should be submitted no later than 7 working days prior to TORFP Closing Date!	MDOT Contracts Manager – Peter Arrey Email Address: parrey@mdot.state.md.us Telephone Number: (410) 865-1372 MDOT Contracts Administrator – Carl Stein Email Address: cstein@mdot.state.md.us Telephone Number: (410) 865-1315
TO Procurement Officer:	Melissa Barnes Technical Services Division Chief – OIT Office Phone: (410) 545-8655 Office FAX: (410) 209-5017
TO Manager:	Karl Teitt Office Phone: (410) 545-8691 FAX: (410) 209-5017
Project Number:	J02P6200017
TO Type:	Time and materials
Period of Performance:	Two years with one 1-year renewal option
MBE Goal:	30%
Primary Place of Performance:	Maryland State Highway Administration, 707 N. Calvert St., Baltimore, MD 21202 and Office of Traffic and Safety, 7491 Connelley Drive, Hanover MD 21076
State Furnish Work Site and/or Access to Equipment, Facilities or Personnel:	Office Desk Space and networked PC with email and software applications
TO Pre-Proposal Conference:	May 11, 2006 at 2:00 PM MDOT Headquarters

	7201 Corporate Center Dr. Hanover, Md. 21076 Harry Hughes Conference Room See Attachment 6 for directions
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NOTICE TO MASTER CONTRACTORS

All CATS Master Contractors approved to perform work in the functional area under which this TORFP is released are invited to submit a Task Order (TO) Proposal to this TORFP. Those Master Contractors deciding not to submit a TO Proposal are required to submit the reason(s) why per Section 3.1 of the TORFP. If you have chosen not to propose to this TORFP, you must complete and email this notice to the TO Procurement Officer, the MDOT Contracts Manager and the MDOT Contracts Administrator. If you are submitting a TO Proposal, we also ask that you take a few minutes and provide comments and suggestions regarding the enclosed TORFP.

TORFP Title: Oracle Database Administration Technical Services

TORFP No.: J02P6200017

1. If you have responded with a "not submitting Task Order Proposal", please indicate the reason(s) below:

- Other commitments preclude our participation at this time.
- The subject of the TORFP is not something we ordinarily provide.
- We are inexperienced in the services required.
- Specifications are unclear, too restrictive, etc. (Explain in REMARKS section.)
- The scope of work is beyond our present capacity.
- Doing business with the State of Maryland is too complicated. (Explain in REMARKS section.)
- We cannot be competitive. (Explain in REMARKS section.)
- Time allotted for completion of a Task Order Proposal is insufficient.
- Start-up time is insufficient.
- Bonding/Insurance requirements are too restrictive. (Explain in REMARKS section.)
- TORFP requirements (other than specifications) are unreasonable or too risky. (Explain in REMARKS section.)
- MBE requirements. (Explain in REMARKS section.)
- Prior State of Maryland contract experience was unprofitable or otherwise unsatisfactory. (Explain in REMARKS section.)
- Payment schedule too slow.
-

Other: _____.

2. If you have submitted a Task Order Proposal, but wish to offer suggestions or express concerns, please use the Remarks section below.

Remarks:

Master Contractor

Name: _____ Date: _____

Contact Person: _____ Phone ____ - ____ - ____ email _____

SECTION 1 - ADMINISTRATIVE INFORMATION

1.1 RESPONSIBILITY FOR TORFP AND TO AGREEMENT

The MDOT Contracts Manager and the TO Procurement Officer have the primary responsibility for the management of the TORFP process, for the resolution of TO Agreement scope issues, and for authorizing any changes to the TO Agreement. See Section 2.14 for information on change orders.

The TO Manager has the primary responsibility for the management of the work performed under the TO Agreement; administration functions, including issuing written directions; ensuring compliance with the terms and conditions of the CATS Master Contract; and, in conjunction with the selected Master Contractor, achieving on budget/on time/on target (e.g., within scope) completion of the Scope of Work.

1.2 TO AGREEMENT

Based upon an evaluation of TO Proposal responses, a Master Contractor will be selected to conduct the work defined in Section 2 Scope of Work. A specific TO Agreement, Attachment 3, will then be entered into between the State and the selected Master Contractor, which will bind the selected Master Contractor (TO Contractor) to the contents of its TO Proposal, including the price proposal.

1.3 TO PROPOSAL SUBMISSIONS

The TO Procurement Officer and the MDOT Contracts Manager will not accept submissions after the stated date and exact time. The time will be local time as determined by SHA OIT's e-mail system time stamp. The TO Proposal is to be submitted via e-mail as two attachments in MS Word format. The "subject" line in the e-mail submission shall state the TORFP # J02P6200017. The first file will be the TO Proposal technical response to this TORFP and titled, "CATS TORFP # J02P6200017 Technical". The second file will be the financial response to this CATS TORFP and titled, "CATS TORFP # J02P6200017 Financial". The proposal documents that must be submitted with a signature, Attachment 2 - MBE Forms D-1 and D-2 and Attachment 4 - Conflict of Interest and Disclosure Affidavit, must be submitted as .PDF files with signatures clearly visible.

1.4 MINORITY BUSINESS ENTERPRISE (MBE)

A Master Contractor that responds to this TORFP shall complete, sign, and submit all required MBE documentation (Attachment 2, Forms D-1 and D-2) at the time it submits its TO Proposal. **Failure of the Master Contractor to complete, sign, and submit all required MBE documentation at the time it submits its TO Proposal will result in the State's rejection of the Master Contractor's TO Proposal.**

1.5 eMARYLANDMARKETPLACE FEE

COMAR 21.02.03.06 requires that each Master Contractor that wins a TO Agreement under this TORFP pay a fee to support the operation of eMarylandMarketplace. The fee will be due on each TO Agreement that exceeds \$25,000. The applicable fee will be based on TO value, including any options. Contractors shall pay the fee as provided by COMAR 21.02.03.06 and in accordance with guidelines issued by the Maryland Department of General Services. A copy of COMAR 21.02.03.06 and the guidelines issued by the Maryland Department of General Services can be found on the eMarylandMarketplace website at www.eMarylandMarketplace.com.

The rate(s) or price(s) of the proposal/bid shall include the appropriate fee as per the COMAR 21.02.06.03 fee schedule. Fees may not be quoted as a separate add-on price. A total TO Agreement value that is other than an even dollar amount will be rounded to the nearest whole

dollar to determine the appropriate fee level. For example, a total TO Agreement value of \$50,000.49 will be rounded to \$50,000 and a Level 1 fee will apply. A total TO Agreement value of \$50,000.50 will be rounded to \$50,001 and a Level 2 fee will apply.

1.6 CONFLICT OF INTEREST

The TO Contractor awarded the TO Agreement shall provide IT consulting services for State agencies or component programs with those agencies, and must do so impartially and without any conflicts of interest. Each Master Contractor shall complete and include a Conflict of Interest Affidavit in the form included as Attachment 4 this TORFP with its TO Proposal. If the TO Procurement Officer makes a determination that facts or circumstances exist that give rise to or could in the future give rise to a conflict of interest within the meaning of COMAR 21.05.08.08A, the TO Procurement Officer may reject a Master Contractor's TO Proposal under COMAR 21.06.02.03B.

Master Contractors should be aware that the State Ethics Law, State Government Article, §15-508, might limit the selected Master Contractor's ability to participate in future related procurements, depending upon specific circumstances.

1.7 NON-DISCLOSURE AGREEMENT

Certain system documentation may be available for potential Offerors to review at a reading room at the State Highway Administration, 707 N. Calvert Street, Baltimore, Maryland. Offerors who review such documentation will be required to sign a Non-Disclosure Agreement in the form of Attachment 7. Please contact the TO Procurement Officer of this TORFP to schedule an appointment.

In addition, certain documentation may be required by the TO Contractor awarded the TO Agreement in order to fulfill the requirements of the TO Agreement. The TO Contractor, employees and agents who review such documents will be required to sign, including but not limited to, a Non-Disclosure Agreement in the form of Attachment 8.

1.8 LIMITATION OF LIABILITY CEILING

Pursuant to Section 28(C) of the CATS Master Contract, the limitation of liability per claim under this TORFP shall not exceed five (5) times the total TO Agreement amount established.

SECTION 2 – SCOPE OF WORK

2.1 PURPOSE, SHA INFORMATION, AND BACKGROUND

2.1.1 PURPOSE

The Maryland Department of Transportation (MDOT) State Highway Administration (SHA) Office of Information Technology (OIT) is issuing this CATS TORFP to obtain highly qualified technical resources relating to Oracle Database Administration. These resources are critical in supporting SHA's Business Enterprise Architecture and Project Portfolio as well as achieving SHA's Business Plan goals to improve efficiencies in our business processes and to provide services and products to our customers that meet or exceed their expectations. The goals of this Task Order are to ensure that the SHA has the appropriate resources, skills and expertise to manage and enhance SHA's Business Enterprise Architecture and Project Portfolio and to provide on-going guidance concerning best practices in implementing newer technologies.

This CATS TORFP is issued to acquire the services of a minimum of six (6) qualified resources to provide Oracle database administration services. These individuals will develop, enhance, maintain and support many of our mission critical business applications throughout SHA. They will also support other client/server and web-based systems as currently needed or in the future. They must be qualified and experienced in the systems identified (or in systems providing similar business functions).

This task order would also allow SHA to expand resources as SHA identifies the need. The request and approval process for these additional future resources would follow the CATS Task Order Change Order Process as identified by DBM. We would solicit responses to our request from any prime vendor(s) receiving a part of this task order award. The responses would be evaluated to determine which resource would provide SHA the best value.

We reserve the option to award to multiple prime vendors. Therefore, we will evaluate the best candidate(s) from among all the proposals, and may award a portion of the total task separately to individual prime vendors, based on the qualifications of the individual resources proposed.

2.1.2 STATE HIGHWAY ADMINISTRATION INFORMATION

The State Highway Administration is responsible for all interstates, U.S. and Maryland routes (numbered routes) excluding those in Baltimore City and toll facility maintained highways. The state system includes approximately 6,000 centerline miles, (16,064 lane miles) of highways and 2,400 bridges, connecting all regions of the state.

The State Highway Administration Business Plan is available online at: <http://www.marylandroads.com/aboutus/shabusinessetnl.pdf>. It includes the following mission, vision and values of SHA:

State Highway Administration Mission: Efficiently provide mobility for our customers through a safe, well-maintained and attractive Highway system that enhances Maryland's communities, economy and environment.

State Highway Administration Vision: "Providing our customers with a world class highway system"

State Highway Administration Values: State Highway Administration employees

embrace values that complement our vision and mission. We value excellence in:

Our People: SHA employees are energetic, loyal, and supportive of one another. We encourage each other to reach our highest potential and are committed to gaining the skills, knowledge, and training to achieve our goals.

Our Work

As a team, we strive to know the needs of our internal and external customers. We fulfill commitments in a timely and accurate manner, using resources responsibly, and observing all legal, moral, and ethical standards.

Our Relationships

We value each other's opinions and ideas as well as those of our customers. We earn the respect and trust of our internal and external customers through fairness, honesty, integrity, and open communication. We accept responsibility and are accountable for our performance.

Our Work Environment

SHA provides a professional environment that is committed to putting the safety of its people and customers first. We strive to continually improve the workplace by rewarding accomplishments and encouraging employee involvement at all levels of the organization.

2.1.3 PROJECT BACKGROUND

The Maryland State Highway Administration has solely relied on Contractual Technical Support Services for many years to meet database administration needs for SHA. These Technical Support resources provide Oracle database administration services for both the SHA Headquarters, located at 707 North Calvert Street, Baltimore Maryland and the Office of Traffic and Safety, located at 7491 Connelley Drive, Hanover, Maryland. These resources provide on going support and maintenance to SHA's Project Portfolio of applications which include Mission Critical and Emergency Operations information and systems.

The State Highway Administration maintains over forty facilities across the state and these resources work with the various business units within these facilities to ensure efficient and secure transmission of data between servers and end users. The SHA OIT recognizes that with the advent of client-server and web-based systems, these end-users expect 100% up-time and near instantaneous response time. As all of State government is expected to accomplish an increasing work load with diminished staffing, it is incumbent upon the OIT to assist our internal customers to work as efficiently as possible. Therefore, the OIT places high expectations upon our staff in terms of deploying well-engineered systems and providing expert resolution of problems. The growth of systems supported by OIT, coupled with the continued expectation that OIT staff will provide "first responder" services is driving the need for these resources. Task assignments may require the resources to meet with all levels of employees (front-line worker, team leader, middle manager, senior manager, etc.) within the SHA business areas in the course of conducting work assignments. Therefore, the proposed resources must possess excellent verbal and written communication skills. The OIT values a team approach to work efforts; the proposed resources for each assignment must possess good people skills and be skilled in facilitating project team interactions.

The objective of this Task Order RFP is initially to provide four (4) qualified individuals who will work with OIT staff at their SHA Headquarters Complex located at 707 N. Calvert St., Baltimore, Maryland. In addition, two (2) qualified individuals will work with the Office of Traffic and Safety (OOTS) at the Hanover Complex, Room 100 Basement, 7491 Connelley Drive, Hanover, Maryland 21076-1701.

2.2 PROFESSIONAL DEVELOPMENT

Technology and software products continuously change. The TO Contractor must ensure continuing education opportunities for the personnel provided. This education would be associated with the technologies currently utilized by SHA or anticipated to be implemented by SHA in the near future. With SHA prior approval, the time allocated to these continuing education activities for staff deployed to SHA on a full-time basis may be charged to this task order. Actual course costs are the responsibility of the Contractor.

2.3 TO CONTRACTOR PERSONNEL DUTIES AND RESPONSIBILITIES

At a minimum, the work to be accomplished by the TO Contractor personnel under this TORFP shall consist of the following:

1) Database Security Functions

- Ensure servers are current with Operating System and Oracle patches and security updates.
- Document the various security procedures in place to provide system security. Provide access to this document only to authorized personnel.
- Analyze and evaluate the security procedures required for specific mission-critical business systems as defined by MDOT security standards
- Perform all database security checks and manage all database securities
- Create and implement plans for system security using a variety of technologies to provide data security and auditing functions for SHA mission critical systems.
- Maintain security and integrity of data access policies, standards, and methods by establishing database recovery plans to minimize data losses and system downtime and by developing backup routines for the database management system software and for the stored data.
- Develop standardized application security procedures for SHA applications and databases.
- Design and implement policies for data and application security using MDOT security standards.

2) Configuration Management

- Create/restore an Oracle image of a server.
- Configure and tweak the hardware and software, perform integration testing, server imaging create and restore, create and implement plans to rollover SHA statewide systems from testing to production.
- Install and upgrade Oracle and other related software on SHA specified hardware to provide functional capabilities for SHA critical systems.
- Create software and database maintenance plans for efficient upgrades and maintenance. Implement the plan and update it regularly.
- Provide hardware and software specifications for various systems.
- Coordinate the database management system interfaces with other data processing units.
- Review and approve/disapprove database designs for new systems.

3) Disaster Recovery and Backup Functions

- Configure a backup job to run on a specified schedule.

- Restore data files or tables from a previous backup session.
- Develop and maintain scripts and perform and monitor backups for mission critical servers at SHA.
- Troubleshoot database connectivity and back up issues working with Vendors/Developers/Users/Project Managers and back up operators.
- Prepare and implement disaster recovery plans for various Oracle based software systems. Create upgrade and migration schedules and plans in a way so as to minimize the impact on production and mission critical systems.

4) New Technology

- Research, lab test, document and make recommendations to the TO Manager on a variety of new database related technologies that could be implemented at SHA and provide recommendations about the migration and upgrade paths for various systems.
- Design and perform the implementation of Oracle 10g RAC and Oracle GRID control
- Design and perform the implementation of data Warehousing technologies
- Coordinate the installation and implementation of database management system software and related software tools with vendors, other data processing staff and system users.
- Develop and implement new database management policies, procedures and standards
- Develop/Test and Implement Oracle application access using LDAP.

5) Database & Application Support

- Conduct Random health checks on the databases and prepare performance reports.
- Assist Business Side System Administrators on database issues/errors and assist users and programmers with SQL queries and tuning.
- Conduct routine maintenance tasks on the database servers for proactive monitoring like deleting log files, dump files, error correcting.
- Create repeatable processes to upgrade, test, and maintain databases and software systems. Monitor the systems to provide a minimum level of performance as a part of QA.
- Provide on-call support after hours and on weekends. Monitor database availability every Saturday after database weekly backups.
- Monitor database performance and make modifications and adjustments to database architecture, storage methods and management system software to fine tune the database for optimum response time.
- Monitor capacity and allocate space according to overall needs of systems users, available data storage and database management system requirements.
- Implement Oracle Enterprise Manager (OEM) and monitor all database activity.
- Prepare statistical and narrative reports of database management performance, activities and special projects.
- Troubleshoot problems related to availability of data to system users, space, database software, data flow, and data storage or data access.
- Manage, migrate and debug application software, as it applies to the Oracle Database.
- Assist in the development of Novell's Zero Effort Network (ZEN) Objects used to implement or upgrade client (desktop) software

6) Coordination Meetings

- Hold status meetings with OIT Management on various projects. Provide Oracle and other application business function expertise whenever required.
- Attend internal SHA staff meetings as requested with network team, project managers, business users, developers and upper management.

2.4 WORK HOURS

- (a) The TO Contractor's assigned personnel will work an eight-hour day (8:00 am to 4:30 pm), Monday through Friday except for State holidays.
- (b) The Database Administrators will be required to participate in a rotating on-call schedule, providing non-business hours support. Typically when on call, personnel are required to be available 24 hours a day for a seven day period. On-call hours must be billed based on actual time worked in response to an incident, at the Task Order approved labor rates. Travel time may be included **if** the individual has already left the work-site and **if** the incident cannot be addressed remotely. "Stand-by" hours are not required and should not be billed.
- (c) Services may also involve some evening and/or weekend hours performing planned system upgrades, in addition to core business-day hours. Hours performing system upgrades must be billed based on actual time worked at the Task Order approved labor rates.

2.5 DELIVERABLES

(a) Personnel

The TO Contractor shall be responsible for providing on a continual basis for all assigned tasks, the personnel required in this TORFP within the timeframe required as specified by the TO Manager.

(b) Weekly Status Report

At the conclusion of each work week, the TO Contractor shall be responsible for compiling and submitting to the TO Manager a status report that summarizes the following:

- Assigned work efforts and status (completed, in progress, on-hold) and issues identified
- Emergency work efforts and issues identified.
- Proposed activities for the upcoming workweek.
- Hours worked by individual TO Contractor personnel.

2.6 REQUIRED POLICIES, GUIDELINES AND METHODOLOGIES

The TO Contractor shall be required to comply with all applicable laws, regulations, policies, standards and guidelines affecting information technology work, which may be created or changed periodically. The TO Contractor shall adhere to and remain abreast of current, new, and revised laws, regulations, policies, standards and guidelines affecting project execution. These may include, but are not limited to:

- A) The State's System Development Life Cycle (SDLC) methodology at: www.dbm.maryland.gov - keyword: SDLC.
- B) The State Information Technology Security Policy and Standards at: www.dbm.maryland.gov - keyword: Security Policy.
- C) The State Information Technology Project Oversight at: www.dbm.maryland.gov - keyword: IT Project Oversight.
- D) The State of Maryland Enterprise Architecture at www.dbm.maryland.gov - keyword: MTAF Guiding Principles.
- E) The SHA SDLC and web development standards. (Available at the SHA Reading Room. Call 410-545-8661 for appointment.)

2.7 TO CONTRACTOR EXPERTISE REQUIRED

The TO Contractor shall be capable of furnishing all necessary services required to successfully complete all tasks and work requirements and produce high quality deliverables described herein. The TO Contractor shall demonstrate, in its proposal, that it possesses such expertise in-house or has fostered strategic alliances with other firms for providing such services.

2.8 TO CONTRACTOR PERSONNEL MINIMUM QUALIFICATIONS AND CERTIFICATIONS

TO Contractor personnel proposed for this TORFP must have at least eight years of Oracle database administration experience and must possess a certification for Oracle 9i and preferably Oracle 10g.

The TO Contractor personnel must demonstrate a level of expertise in a variety of database technical services, including but not limited to: Oracle RAC and GRID Control, data warehousing, Oracle Connection Manager and backup technologies. Additionally, the proposed Contractor personnel must collectively possess expertise in the following but not limited to:

- Knowledge of Windows 2000 and Windows 2003 Server
- Knowledge and experience with the latest Oracle Security patches and threats,
- Knowledge and experience in Oracle 9I and 10G and their management packs
- Knowledge and experience with LDAP and Single Sign On Technologies,
- Knowledge and experience with Active Directory
- Knowledge of Security and network components.
- Advanced knowledge and experience with OEM tools (9i and 10g) and Oracle Grid
- Knowledge and experience with Oracle Internet Developer (OID)/LDAP.
- Knowledge and experience in creating ZEN Objects.
- Knowledge and experience in Financial Management Information System (FMIS) Interfaces.
- Knowledge and experience in creating scripts for backing up data
- Knowledge of Oracle RAC
- Knowledge of TCP/IP and DNS
- Advanced knowledge of SMTP
- Working knowledge of Oracle Connection Manager

The proposed personnel must also have experience in supporting the following systems identified (or equivalent system experience that would demonstrate an understanding of the business functions supported by the systems). Resumes and technical proposals will be rated

based primarily on the experience demonstrated.

Automated Hauling Permit System (AHPS) - Bentley Transportation-licensed system for oversize/overweight permit issuance; also provides permit services through a web-enabled front end for users to submit permit requests from the Hauling Company to SHA via the Internet.

Current Platform: Oracle 9i

Program Budget and Expenditure System – Maintain capital construction project costs and work program budget and expenditure information used in forecasting cash flows in the budget over a six to ten year period. MDOT'S Financial Management Information System (FMIS) provides daily batch files providing expenditure data to this system. This system provides daily project cost estimates to FMIS. SHA's Project Management System accesses this system for selected date and cost data.

Current Platform: Oracle 9i and PowerBuilder 8

Highway, Facilities & Equipment Maintenance Management – implementation of MRO's **MAXIMO**, with Oracle DBMS, as integrated solution to highway maintenance, facilities maintenance and vehicle/equipment maintenance operational requirements.

Current Platform: Oracle 9i

Construction Management and Engineers' Estimate Systems – The AASHTO (American Association of State Highway and Transportation Officials) **Trns*port** Systems manage the life cycle of a construction project, including the engineer's estimate of items and quantities; advertisement and electronic bidding; bid analysis; electronic creation and transmission of monthly payment to contractor voucher; materials management; and record keeping and close-out.

Current Platform: Oracle 9i and PowerBuilder 8

Inventory Management - A centralized Oracle based system used by 40 maintenance shops to track consumable inventory items and which interfaces with FMIS.

Current Platform: Oracle 9i and PowerBuilder 8

Corporate Credit Card System – Allows credit cardholders to enter purchases, reconciles purchases and interface transactions to inventory and into FMIS.

Current Platform: Oracle 9i and PowerBuilder 8

Project Management System - Implemented Microsoft Project, with customizations and links to an Oracle database with a Power Builder front end, as a transportation project management tool. Links to the *Program Budget and Expenditure System*.

Current Platform: Oracle 9i and PowerBuilder 8

Cash Transaction and Receipt System - This application has been developed to effectively manage the various sources of revenues for Maryland State Highway Administration. This application keeps track of all the cash receipts entered. The application further provides an interface and uploads facility to allow for interaction of data with the FMIS system. Security features in this application maintain a code of responsibilities and duties among users.

Current Platform: Oracle 9i and PowerBuilder 8

Transportation Enhancement Program Mgt. System - Implemented an Oracle Database with a Power Builder front end system that tracks the status of milestones and cash flows from the 50% Federal/50% Local funding agreement for all Transportation Enhancement Projects under Local

government and Municipality sponsorship. Future plans include web enabling the system to allow the submission of an Enhancement Project proposal on-line.

Current Platform: Oracle 9i and PowerBuilder 8

Maryland Automated Accident Reporting System – System of accident records collected by Maryland State Police data entry subsystem for reporting of Traffic Safety Engineering Studies and Analysis and accident data reporting requirements support of Traffic Engineering Project decision-making in SHA and with contractors.

Current Platform: Oracle 10g and Visual Basic.NET

Collision Diagram - This is a graphical representation of vehicular accidents that occur throughout the state. This information is used in traffic analysis.

Current Platform: Oracle 10g and Visio/Visual Basic.NET

Rest Area Information System – This application is used by the Office of Maintenance as a tool to define customer satisfaction with those who visit SHA owned Rest Areas, and to provide information to SHA's Business Plan.

Current Platform: Oracle 10g and Visio/Visual Basic.NET

Scanned SHA Building Plans- A web-based application that will allow SHA to query for individual SHA Building Plans via a web-browser.

Current Platform: Oracle10g and Visual Basic.NET (Web Application)

Memorandum of Action System - System allows on line access to all memorandum of actions. These action files are used to change traffic regulations on the roadway.

Current Platform: Oracle 10g and Visual Basic.NET (Web Application)

Signal Database - System that keeps track of existing and new traffic signals, including all the associated data of each signal such as electrical attributes, utility company data and remote communication data. This application also provides the signal team with photographs of various signal traffic intersections.

Current Platform: Oracle 10g, Visual Basic.NET

Transportation Project Web Based Information System - Web based information system that provides project related information as well as the current status of funded highway transportation projects.

Current Platform: Oracle 9i and ASP and Interwoven Team Site (Content Management System)

Real Estate Management System – Office of Real Estate Management System tracks and presents to the various users the relevant information on the status of SHA real estate owned or being acquired by SHA.

Current Platform: Oracle 9i and ASP.NET

2.9 PERFORMANCE EVALUATION

TO Contractor personnel will be evaluated by the TO Manager on a schedule consistent with evaluations of SHA personnel for assignments performed during that period. The established performance evaluation and standards are included as Attachment 9. The TO Contractor personnel must maintain at least an “Exceeds Standards” in each major category of the performance evaluation (i.e., Dependability, Job Knowledge, etc.) and at least a “Meets

Standards” in all individual criteria (i.e., Punctuality, Tact, etc.) If prior to a scheduled evaluation the TO Manager has determined there are issues with the performance of TO Contractor personnel, the TO Manager will notify both the TO Contractor and the TO Contractor personnel by email, identifying the issue and the expected action(s) to correct the issue.

2.10 NON PERFORMANCE OF PERSONNEL

In the event that SHA is dissatisfied with the TO Contractor’s personnel for not performing to the standards specified in Section 2.9, the TO Contractor personnel may be removed at the TO Manager’s discretion. Replacement personnel must have qualifications equal to or greater than that of the non-performing person initially proposed and evaluated and accepted in the TO Agreement. The TO Manager will determine the amount of time the TO Contractor has to provide a replacement.

2.11 SUBSTITUTION OF PERSONNEL

The TO Contractor shall propose only staff available at the time of the TO Proposal and that satisfy the personnel qualifications specified in the Master Contract. In addition, the TO Contractor shall abide by the substitution of personnel requirements in the Master Contract.

2.12 INVOICING

Invoice payments to the TO Contractor shall be governed by the terms and conditions defined in the Master Contract. Invoices for payment shall contain the Contractor's Federal Employer Identification Number (FEIN), as well as the information described below, and must be submitted to the TO Manager for payment approval.

On-call hours and upgrades performed during non-business hours would be billed based on actual time worked at the approved Task Order labor rate.

The TO Contractor shall submit monthly invoices for payment that coincide with the submission of the progress reports (on or before the 15th day of the month). The invoices shall identify actual hours by each person assigned to the contract during the reporting period and materials purchased by the contractor for the contract. Invoices shall be accompanied by timesheets and paid contractor invoices documenting charges for labor and materials in accordance with the contractor price proposal for the Master Contract.

2.12.1 INVOICE SUBMISSION PROCEDURE

This procedure consists of the following requirements and steps:

- A) The invoice shall identify the State Highway Administration as the TO Requesting Agency, work description, associated TO Agreement number, date of invoice, period of performance covered by the invoice, and a TO Contractor point of contact with telephone number.
- B) The TO Contractor shall send the original of each invoice and supporting documentation (itemized billing reference for employees including detail of work hours) submitted for payment to the State Highway Administration at the following address:

Frank Vasilios
State Highway Administration – MS C-605

P.O. Box 717
Baltimore, MD 21202-0717

- C) Invoices for final payment shall be clearly marked as “FINAL” and submitted when all work requirements have been completed and no further charges are to be incurred under the TO Agreement. In no event shall any invoice be submitted later than 60 calendar days from the TO Agreement termination date.

2.13 MBE

Monthly reporting of MBE participation is required in accordance with the terms and conditions of the Master Contract. The TO Contractor shall provide a completed MBE Participation form (Attachment 2, Form D-5) to the State Highway Administration, at the same time the invoice copy is sent. The TO Contractor shall ensure that each MBE Subcontractor provides a completed MBE Participation Form (Attachment 2, Form D-6). Subcontractor reporting shall be sent directly from the subcontractor to the State Highway Administration. The State Highway Administration will monitor both the TO Contractor’s efforts to achieve the MBE participation goal and compliance with reporting requirements. Contractors shall email completed forms to the State Highway Administration at SHAMBEreport@SHA.STATE.MD.US and to the SHA Office of Equal Opportunity at msabree@sha.state.md.us. The SHA Office of Equal Opportunity also requires quarterly reporting – see Attachment 2, SHA FORM 14.0-OEO.

2.14 CHANGE ORDERS

If the TO Contractor is required to perform additional work, or there is a work reduction due to unforeseen scope changes, a TO Change Order will be initiated. The TO Contractor and TO Manager shall negotiate a mutually acceptable price modification based on the TO Contractor’s proposed rates in the Master Contract and scope of the work change. No scope of work modifications shall be performed until a change order is approved by DBM and executed by the MDOT Contracts Manager.

SECTION 3 - TO PROPOSAL FORMAT AND SUBMISSION REQUIREMENTS

3.1 REQUIRED RESPONSE

Each Master Contractor receiving this CATS TORFP must respond within the submission time designated in the Key Information Summary Sheet. Each Master Contractor is required to submit one of two possible responses: 1) a proposal or 2) a completed Notice to Master Contractors explaining why the Master Contractor will not be submitting a proposal.

3.2 FORMAT

If a Master Contractor elects to submit a TO Proposal, the Master Contractor shall do so in conformance with the requirements of this CATS TORFP. A TO Proposal shall provide the following:

3.2.1 THE TECHNICAL PORTION OF THE TO PROPOSAL SHALL INCLUDE:

A) Proposed Services

- 1) Requirements: A detailed discussion of the Master Contractor's understanding of the work and the Master Contractor's capabilities, approach and solution to address the requirements outlined in Section 2.
- 2) Assumptions: A description of any assumptions formed by the Master Contractor in developing the Technical Proposal.

B) Proposed Personnel

- 1) Identify and provide resumes for all proposed personnel by labor category. The resumes must demonstrate the required level of expertise required under Section 2.3.
- 2) Certification that all proposed personnel meet the minimum required qualifications and possess the required certifications in Section 2.8.
- 3) Provide the names and titles of all key management personnel who will be involved with supervising the services rendered under this TO Agreement.
- 4) Complete and provide Attachment 5 – Labor Classification Personnel Resume Summary.

C) MBE Participation

- 1) Submit completed MBE Documents Attachment 2, Forms D-1 and D-2.

D) Subcontractors

- 1) Identify all proposed subcontractors, including MBEs, and their full roles in the performance of this TORFP Scope of Work.

E) Master Contractor and Subcontractor Experience and Capabilities

- 1) Provide three examples of work assignments that the proposed personnel have completed that were similar in scope to the one defined in this TORFP Scope of

Work. Each of the three examples must include a reference complete with the following:

- a) Name of organization.
- b) Name, title, and telephone number of point-of-contact for the reference.
- c) Type, and duration of contract(s) supporting the reference.
- d) The services provided, scope of the contract and performance objectives satisfied as they relate to the scope of this TORFP.
- e) Whether the Master Contractor is still providing these services and, if not, an explanation of why it is no longer providing the services to the client organization.

F) State Assistance

- 1) Provide an estimate of expectation concerning participation by State personnel.

G) Confidentiality

- 1) A Master Contractor should give specific attention to the identification of those portions of its proposal that it considers confidential, proprietary commercial information or trade secrets, and provide justification why such materials, upon request, should not be disclosed by the State under the Public Information Act, Title 10, Subtitle 6, of the State Government Article of the Annotated Code of Maryland. Contractors are advised that, upon request for this information from a third party, the TO Procurement Officer will be required to make an independent determination regarding whether the information may be disclosed.

3.2.2 THE FINANCIAL RESPONSE OF THE TO PROPOSAL SHALL INCLUDE:

- A) A description of any assumptions on which the Master Contractor's Financial Proposal is based.
- B) Completed Financial Proposal - Attachment 1 including:

The Contractor should indicate on Attachment 1 the appropriate Labor Category being proposed, and the Fixed Hourly Labor Category Rate. Proposed rates are not to exceed the rates defined in the Master Contract.

SECTION 4 - PROCEDURE FOR AWARDING A TO AGREEMENT

4.1 EVALUATION CRITERIA

The TO Contractor will be selected from among all eligible Master Contractors within the appropriate functional area responding to the CATS TORFP. In making the TO Agreement award determination, the TO Requesting Agency will consider all information submitted in accordance with Section 3.

4.2 TECHNICAL CRITERIA

The following are technical criteria for evaluating a TO Proposal in descending order of importance.

- The qualifications and experience of the Master Contractor's proposed personnel performing the duties and responsibilities required in Section 2.3.
- The experience and certifications required in Section 2.8, of the Master Contractor's proposed personnel.
- The Master Contractor's understanding of the work to be accomplished.
- Satisfactory past performance on engagements provided as reference accounts in the Technical Proposal or other engagements not provided in the Technical Proposal but known to the State, especially previous task orders.

4.3 SELECTION PROCEDURES

4.3.1 Proposed personnel will be assessed for compliance with the minimum qualifications in Section 2.8 of the TORFP. Master Contractors proposing personnel who fail to meet the minimum qualifications will be disqualified and their proposals eliminated from further consideration.

4.3.2 TO Proposals deemed technically qualified will have their financial proposal considered. All others will receive e-mail notice from the MDOT Contracts Manager or Contract Administrator of not being selected to perform the work.

4.3.3 The State will require interviews with all personnel proposed by each of the qualified Master Contractors. In order to ensure as timely an evaluation process as possible, the State will begin conducting interviews one week after receipt of proposals. The number of days for interviews will be dependent upon the number of proposals received. The State will notify all Master Contractors by email of specific dates and contact information for scheduling. Master Contractors must ensure that proposed personnel will be available for the interview in order for their technical proposals to be considered for award.

4.3.4 Qualified TO Proposal financial responses will be reviewed and ranked from lowest to highest price proposed.

4.3.5 The most advantageous TO Proposal offer considering technical and financial submission shall be tentatively selected for the work assignment. In making this selection, technical merit has greater weight than price.

4.4 COMMENCEMENT OF WORK UNDER A TO AGREEMENT

Commencement of work in response to a TO Agreement shall be initiated only upon issuance of a fully executed TO Agreement, Purchase Order and by a Notice to Proceed authorized by the MDOT Contracts Manager.

ATTACHMENT 1 – SAMPLE PRICE PROPOSAL

PRICE PROPOSAL FOR CATS TORFP # J02P6200017 LABOR CATEGORIES

Labor Categories	A	B	C
	Hourly Labor Rate	Total Class Hours Annually	Total Proposed CATS TORFP Price
(Insert Proposed Labor Categories for this TORFP)			
SHA Headquarters			
<u>Year #1:</u>			
DBA (Resource Name) #1	\$	2040**	\$
DBA (Resource Name) #2	\$	2040**	\$
DBA (Resource Name) #3	\$	2040**	\$
DBA (Resource Name) #4	\$	2040**	\$
		Total HQ Cost Year 1	\$
<u>Year #2:</u>			
DBA (Resource Name) #1	\$	2040**	\$
DBA (Resource Name) #2	\$	2040**	\$
DBA (Resource Name) #3	\$	2040**	\$
DBA (Resource Name) #4	\$	2040**	\$
		Total HQ Cost Year 2	\$
<u>Year #3 (Optional):</u>			
DBA (Resource Name) #1	\$	2040**	\$
DBA (Resource Name) #2	\$	2040**	\$
DBA (Resource Name) #3	\$	2040**	\$
DBA (Resource Name) #4	\$	2040**	\$
		Total HQ Cost Optional Year 3	\$
SHA Office of Traffic and Safety (OOTS)			
<u>Year #1:</u>			
DBA (Resource Name) #1	\$	2040**	\$
DBA (Resource Name) #2	\$	2040**	\$
		Total OOTS Cost Year 1	\$
<u>Year #2:</u>			
DBA (Resource Name) #1	\$	2040**	\$
DBA (Resource Name) #2	\$	2040**	\$
		Total OOTS Cost Year 2	\$
<u>Year #3(Optional):</u>			
DBA (Resource Name) #1	\$	2040**	\$
DBA (Resource Name) #2	\$	2040**	\$

		Total OOTS Cost Optional Year 3	\$
		Total Task Order Value (Sum of Total Costs Including Optional Years)	\$

Authorized Individual Name

Company Name

Title

Company Tax ID #

* The Hourly Labor Rate is the actual rate the State will pay for services and must be recorded in dollars and cents. The Hourly Labor Rate cannot exceed the Master Contract Rate, but may be lower.

** *Hours includes non standard business hours.*

SUBMIT THIS WITH THE FINANCIAL RESPONSE

ATTACHMENT 2 – MBE FORMS

ATTACHMENT 2 - FORM D-1 CERTIFIED MBE UTILIZATION AND FAIR SOLICITATION AFFIDAVIT

In conjunction with the bid or offer submitted in response to CATS TORFP No. J02P6200017, I affirm the following:

I acknowledge the overall certified Minority Business Enterprise (MBE) participation goal of **thirty (30)** percent. I commit to make a good faith effort to achieve this goal.

In the solicitation of subcontract quotations or offers, MBE subcontractors were provided not less than the same information and amount of time to respond, as were non-MBE subcontractors.

The solicitation process was conducted in such a manner so as to not place MBE subcontractors at a competitive disadvantage to non-MBE subcontractors.

I solemnly affirm under the penalties of perjury that the contents of this paper are true to the best of my knowledge, information, and belief.

Master Contractor Name

Signature of Affiant

Address

Printed Name, Title

Date

SUBMIT THIS WITH THE TECHNICAL RESPONSE

ATTACHMENT 2 - FORM D-2
MBE OUTREACH EFFORTS COMPLIANCE STATEMENT

In conjunction with the TO Proposal submitted in response to CATS TORFP No. J02P6200017, I state the following:

1. Master Contractor identified opportunities to subcontract in these specific work categories:
2. Attached to this form are copies of written solicitations (with bidding instructions) used to solicit certified MBEs for these subcontract opportunities.
3. Master Contractor made the following attempts to contact personally the solicited MBEs:
4. Master Contractor assisted MBEs to fulfill or to seek waiver of bonding requirements. (DESCRIBE EFFORTS)
5. This project does not involve bonding requirements.
6. Master Contractor did/did not attend the pre-bid conference
 No pre-bid conference was held.

_____ By:
Master Contractor Name Authorized Signature

Address Name, Title

Date

SUBMIT THIS WITH THE TECHNICAL RESPONSE

ATTACHMENT 2 - FORM D-3 MBE PARTICIPATION SCHEDULE

Master Contractor (Firm Name, Address, Phone)	Project Description
Project Number: J02P6200017	Total Contract Amount \$
List Information For Each Certified MBE Subcontractor On This Project	
A. Minority Firm Name, Address, Phone	
MBE Classification: _____	
MBE Certification Number	
Work To Be Performed	
Project Commitment Date	Project Completion Date
Agreed Dollar Amount	Percentage Of Total Contract
B. Minority Firm Name, Address, Phone	
MBE Classification: _____	
MBE Certification Number	
Work To Be Performed	
Project Commitment Date	Project Completion Date
Agreed Dollar Amount	Percentage Of Total Contract
C. Minority Firm Name, Address, Phone	
MBE Classification: _____	
MBE Certification Number	
Work To Be Performed	
Project Commitment Date	Project Completion Date
Agreed Dollar Amount	Percentage Of Total Contract
D. Minority Firm Name, Address, Phone	
MBE Classification: _____	
MBE Certification Number	
Work To Be Performed	
Project Commitment Date	Project Completion Date
Agreed Dollar Amount	Percentage Of Total Contract

MBE Firms Total Dollar Amount Overall \$ _____

MBE Firms Total Percentage Overall _____%

African American MBE Dollar Amount \$ _____

African American MBE Percentage _____%

Women MBE Dollar Amount \$ _____

Women MBE Percentage _____%

List Additional MBE Subcontractors or Provide Any Additional Comments on Separate Paper

Document Prepared By: (Please print or type)

Name: _____ Title: _____

SUBMIT AT THE TIME OF BID

ATTACHMENT 2- FORM D-4
SUBCONTRACTOR PROJECT PARTICIPATION STATEMENT

SUBMIT ONE FORM FOR EACH CERTIFIED MBE LISTED IN THE MBE PARTICIPATION SCHEDULE

Provided that _____ is awarded the State contract in
Master Contractor Name

conjunction with CATS TORFP No. J02P6200017, it and _____,
(Subcontractor Name)

MDOT Certification No. _____, intend to enter into a contract by which
Subcontractor shall:
(describe work)

- No bonds are required of Subcontractor
- The following amount and type of bonds are required of Subcontractor:

Master Contractor Signature

Subcontractor Signature

By: _____
Name, Title

By: _____
Name, Title

Date

Date

SUBMIT AT THE TIME OF AWARD

ATTACHMENT 2 - FORMS D-5 AND D-6 MASTER CONTRACTOR REPORTING REQUIREMENTS

CATS TORFP# J02P6200017

These instructions are meant to accompany the customized reporting forms sent to you by the Contract manager. If, after reading these instructions, you have additional questions or need further clarification, please contact the Contract Manager immediately.

1. **As the Master Contractor, you have entered into a contractual agreement with the State of Maryland. As such, your company/firm is responsible for successful completion of all deliverables under the contract, including your commitment to making a good faith effort to meet the MBE participation goal(s) established for this contract. Part of that effort, as outlined in the RFP, includes submission of monthly reports to the State regarding the previous month's MBE payment activity. Reporting forms D-5 (Master Contractor Paid/Unpaid MBE Invoice Report) and D-6 (Subcontractor Paid/Unpaid MBE Invoice Report) are attached for your use and convenience.**
2. The Master Contractor must complete a separate form D-5 for each MBE subcontractor for each month of the contract and submit one copy to each of the locations indicated at the bottom of the form. The report is due not later than the 15th of the month following the month that is being reported. For example, the report for January's activity is due not later than the 15th of February. With the approval of the contract manager, the report may be submitted electronically. **Note: Reports are required to be submitted each month, regardless of whether there was any MBE payment activity for the reporting month.**
3. The Master Contractor is responsible for ensuring that each subcontractor receives a copy (e-copy and/or hard copy) of form D-6. The Master Contractor should make sure that the subcontractor receives all the information necessary to complete the form properly, i.e., all of the information located in the upper right corner of the form. It may be wise to customize form D-6 (upper right corner of the form) for the subcontractor the same as the form D-5 was customized by the Contract Manager for the benefit of the Master Contractor. This will help to minimize any confusion for those who receive and review the reports.
4. **It is the responsibility of the Master Contractor to make sure that all subcontractors submit reports not later than the 15th of each month regardless of whether there was any MBE payment activity for the reporting month.** Actual payment data is verified and entered into the State's financial management tracking system from the subcontractor's D-6 report only. Therefore, if the subcontractor(s) do not submit their D-6 payment reports, the Master Contractor cannot and will not be given credit for subcontractor payments, regardless of the Master Contractor's proper submission of the form D-5. The contract manager will contact the Master Contractor if reports are not received each month from either the prime contractor or any of the identified subcontractors. The Master Contractor must promptly notify the contract manager if, during the course of the contract, a new MBE subcontractor is utilized. Failure to comply with the MBE reporting requirements and/or failure to make a good faith effort to meet the MBE goal(s) will cause the Master Contractor to have an unfavorable standing with the Department for future contracting opportunities.

SUBMIT AS SPECIFIED IN TORFP

ATTACHMENT 2 - FORM D-5
MARYLAND DEPARTMENT OF BUDGET AND MANAGEMENT
MINORITY BUSINESS ENTERPRISE PARTICIPATION
MASTER CONTRACTOR PAID/UNPAID MBE INVOICE REPORT

Report #: <u> 1 </u> Reporting Period (Month/Year): <u> / </u> <p style="text-align: center;">Report Due By the 15th of the following Month.</p>	CATS TORFP # J02P6200017 Contracting Unit _____ Contract Amount _____ MBE Sub Contract Amt. _____ Contract Begin Date _____ Contract End Date _____ Services Provided _____
--	---

Master Contractor:		Contact Person:	
Address:			
City:		State:	ZIP:
Phone:	FAX:		
Subcontractor Name:		Contact Person:	
Phone:	FAX:		
Subcontractor Services Provided:			
List all payments made to MBE subcontractor named above during this reporting period. 1. 2. 3. 4. Total Dollars Paid: \$ _____		List dates/amounts of any unpaid invoices received from subcontractor during this reporting period. 1. 2. 3. 4. Total Dollars Unpaid: \$ _____	

**If more than one MBE subcontractor is used for this contract please use separate forms.

Return one (1) copy of this form to each of the following addresses:

Frank Vasilios Office of Information Technology State Highway Administration P.O. BOX 717, MS C-605 Baltimore, MD 21203-0717 Email: SHAMBEreport@SHA.STATE.MD.US	Monica Sabree, Data Analyst Office of Equal Opportunity State Highway Administration 707 N. Calvert Street, MS C-406 Baltimore, MD 21202 Email: msabree@sha.state.md.us
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Signature: _____ Date: _____

THIS FORM IS TO BE COMPLETED MONTHLY BY THE MASTER CONTRACTOR.

ATTACHMENT 2 - FORM D-6
MARYLAND DEPARTMENT OF BUDGET AND MANAGEMENT
MINORITY BUSINESS ENTERPRISE PARTICIPATION
SUBCONTRACTOR PAID/UNPAID MBE INVOICE REPORT

Report # _____ 1 _____ Month/Year _____ <p style="text-align: center;">Report Due By the 15th of the following Month.</p>	CATS TORFP # J02P6200017 Contracting Unit _____ Contract Amount _____ MBE Sub Contract Amt. _____ Contract Begin Date _____ Contract End Date _____ Services Provided _____
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MBE Subcontractor Name:		
MDOT Certification #		
Contact Person		
Address:		
City	State:	ZIP:
Phone:	FAX:	
Subcontractor Services Provided:		
List all payments received from Master Contractor in the preceding 30 days. 1. 2. 3. Total Dollars Paid: \$ _____	List dates and amounts of any outstanding invoices. 1. 2. 3. Total Dollars Unpaid: \$ _____	
Master Contractor Name:		Contact Person:

Return one (1) copy of this form to each of the following addresses:

Frank Vasilios Office of Information Technology State Highway Administration P.O. BOX 717, MS C-605 Baltimore, MD 21203-0717 Email: SHAMBEreport@SHA.STATE.MD.US	Monica Sabree, Data Analyst Office of Equal Opportunity State Highway Administration 707 N. Calvert Street, MS C-406 Baltimore, MD 21202 Email: msabree@sha.state.md.us
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Signature: _____ Date: _____

THIS FORM IS TO BE COMPLETED MONTHLY BY THE MBE CONTRACTOR.

Attachment 2 - SHA FORM 14.0-OEO

STATE HIGHWAY ADMINISTRATION OF MARYLAND
 DISADVANTAGED BUSINESS ENTERPRISE PARTICIPATION REPORT
 QUARTERLY REPORTING PERIOD _____

SHA/FAP CONTRACT NUMBER & TOTAL DOLLAR AMOUNT OF CONTRACT	% OF PROJECT COMPLETION	NAME OF DBE/MBE	ITEMS OF WORK & SERVICES PERFORMED	DBE/MBE % OF COMPLETION	SUBMITTED ON THE AAP YES/NO	PROPOSED DOLLAR AMOUNT OF WORK TO BE PERFORMED BY DBE/MBEs	TOTAL DOLLARS PAID THIS PERIOD	TOTAL DOLLARS PAID TO DATE	HAVE ALL PAYMENTS TO THE DBE/MBEs BEEN COMPLETED?	IF DBE/MBE DID NOT ACHIEVE ITS PROPOSED DOLLAR AMOUNT, GIVE REASON WHY

DATE OF SUBMITTAL _____ PREPARED BY _____ NAME OF FIRM _____ TELEPHONE NO. _____

SEE INSTRUCTION ON NEXT PAGE
 SHA FORM 14.0-OEO
 REVISED 12/99

Attn: Jeannette McCune

INSTRUCTION FOR PREPARING THE REPORT

1. This report is to be sent to the Director of the Office of Equal Opportunity on a quarterly basis.
2. The report covering the period of January through March is to be received by April 15th.
The report covering the period of April through June is to be received by July 15th.
The report covering the period of July through September is to be received by October 15th.
The report covering the period of October through December is to be received by January 15th.
3. If you have more than one project, you must fill out one DBE/MBE Participation Report per project.
4. **SHA/FAP CONTRACT NUMBER AND TOTAL DOLLAR AMOUNT OF CONTRACT:**
Note the State Highway Administration (SHA) contract number; and , if applicable, not the Federal-Aid Project (FAP) number. Also include the total dollar amount of the contract as submitted on the Affirmative Action Plan. (Schedule for Participation of Disadvantaged Business Enterprises).
5. **% of PROJECT COMPLETION:** Self-explanatory
6. **Name of DBE/MBE:**
List each Disadvantaged/Minority firm named in the Affirmative Action Plan, regardless of whether or not the firm participated on or in the project during the quarter; and, if applicable, include any certified Disadvantaged/minority firm participating on or in the project which was not submitted on the Affirmative Action Plan.
7. **ITEMS OF WORK AND SERVICES PERFORMED:** List the items/services for each firm as submitted in the Affirmative Action Plan.
8. **DBE/MBE % OF COMPLETION:** Indicate the total % of completion of work on the project by the DBE/MBE firm.
9. **SUBMITTED ON THE AAP YES/NO:** If the firm was listed on the Affirmative Action Plan, not the appropriate response.
10. **PROPOSED DOLLAR AMOUNT OF WORK TO BE PERFORMED BY DBE/MBEs:**
List the proposed dollar amount submitted on the Affirmative Action Plan.
11. **TOTAL DOLLARS PAID THIS PERIOD:** Only report the amount of monies which reflect payments made to the DBE/MBE firms during the quarter based on returned cancelled checks on file at the time the report is being prepared.
12. **TOTAL DOLLARS PAID TO DATE:** Self-explanatory
13. **HAVE ALL PAYMENTS TO THE DBE/MBEs BEEN COMPLETED? YES/NO** If all final payments have been made (including retainage out of the "Proposed Dollar Amount," not the appropriate response. (Note: THIS REPORT WILL CONTINUE TO BE REQUESTED UNTIL A "YES" IS NOTED FOR ALL MINORITY

OR DISADVANTAGED FIRMS WHO PARTICIPATED ON A PARTICULAR PROJECT)

14. **IF DBE/MBE DID NOT ACHIEVE ITS PROPOSED DOLLAR AMOUNT, GIVE REASON WHY:** (IF APPLICABLE) If the firm has completed all work on the project and the amount listed in the "Total Dollars Paid To Date" column is less than the amount listed in the "Proposed Dollar Amount of Work" column, provide a reason explaining the difference in dollars.

ATTACHMENT 3 – Task Order Agreement

CATS TORFP # J02P6200017.
OF MASTER CONTRACT # 050R5800338

This Task Order Agreement (“TO Agreement”) is made this day day of Month, 200X by and between MASTER CONTRACTOR and the STATE OF MARYLAND, Department of Transportation, State Highway Administration.

IN CONSIDERATION of the mutual premises and the covenants herein contained and other good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, the parties agree as follows:

1. Definitions. In this TO Agreement, the following words have the meanings indicated:
 - a. “Agency” means the State Highway Administration, as identified in the CATS TORFP # J02P6200017.
 - b. “CATS TORFP” means the Task Order Request for Proposals # J02P6200017, dated MONTH DAY, YEAR, including any addenda.
 - c. “Master Contract” means the CATS Master Contract between the Maryland Department of Budget and Management and MASTER CONTRACTOR dated December 19, 2005.
 - d. “TO Procurement Officer” means Melissa Barnes. The Agency may change the TO Procurement Officer at any time by written notice to the TO Contractor.
 - e. “TO Agreement” means this signed TO Agreement between the State Highway Administration and MASTER CONTRACTOR.
 - f. “TO Contractor” means the CATS Master Contractor awarded this TO Agreement, whose principal business address is _____ and whose principal office in Maryland is _____.
 - g. “TO Manager” means Karl Teitt of the Agency. The Agency may change the TO Manager at any time by written notice to the TO Contractor.
 - h. “TO Proposal - Technical” means the TO Contractor’s technical response to the CATS TORFP dated date of TO Proposal – Technical.
 - i. “TO Proposal – Financial” means the TO Contractor’s financial response to the CATS TORFP dated date of TO Proposal - FINANCIAL.
 - j. “TO Proposal” collectively refers to the TO Proposal – Technical and TO Proposal – Financial.

2. Scope of Work

2.1. This TO Agreement incorporates all of the terms and conditions of the Master Contract and shall not in any way amend, conflict with or supercede the Master Contract.

2.2 The TO Contractor shall, in full satisfaction of the specific requirements of this TO Agreement, provide the services set forth in Section 2 of the CATS TORFP. These services shall be provided in accordance with the Master Contract, this TO Agreement, and the following Exhibits, which are attached and incorporated herein by reference. If there is any conflict among the Master Contract, this TO Agreement, and these Exhibits, the terms of the Master Contract shall govern. If there is any conflict between this TO Agreement and any of these Exhibits, the following order of precedence shall determine the prevailing provision:

- a. The TO Agreement,
- b. Exhibit A – CATS TORFP
- c. Exhibit B – TO Proposal-Technical
- d. Exhibit C – TO Proposal-Financial

2.3 The TO Procurement Officer, with approval of the MDOT Contracts Manager, may, at any time, by written order, make changes in the work within the general scope of the TO Agreement. No other order, statement or conduct of the TO Procurement Officer or any other person shall be treated as a change or entitle the TO Contractor to an equitable adjustment under this section. Except as otherwise provided in this TO Agreement, if any change under this section causes an increase or decrease in the TO Contractor's cost of, or the time required for, the performance of any part of the work, whether or not changed by the order, an equitable adjustment in the TO Agreement price shall be made and the TO Agreement modified in writing accordingly. The TO Contractor must assert in writing its right to an adjustment under this section within thirty (30) days of receipt of written change order and shall include a written statement setting forth the nature and cost of such claim. No claim by the TO Contractor shall be allowed if asserted after final payment under this TO Agreement. Failure to agree to an adjustment under this section shall be a dispute under the Disputes clause of the Master Contract. Nothing in this section shall excuse the TO Contractor from proceeding with the TO Agreement as changed.

3. Time for Performance.

Unless terminated earlier as provided in the Master Contract, the TO Contractor shall provide the services described in the TO Proposal and in accordance with the CATS TORFP on receipt of a Notice to Proceed from the TO Manager. The term of this TO Agreement is for a period of two (2) years with a one (1) year renewal option, commencing on the date of Notice to Proceed and terminating on **MONTH DAY, YEAR**.

4. Consideration and Payment

4.1 The consideration to be paid the TO Contractor shall be done so in accordance with the CATS TORFP and shall not exceed **\$total amount of task order**. Any work performed by the TO Contractor in excess of the not-to-exceed ceiling amount of the TO Agreement without the prior written approval of the TO Manager is at the TO Contractor's risk of non-payment.

4.2 Payments to the TO Contractor shall be made as outlined Section 2 of the CATS TORFP, but no later than thirty (30) days after the Agency's receipt of an invoice for services provided by the TO Contractor, acceptance by the Agency of services provided by the TO Contractor, and pursuant to the conditions outlined in Section 4 of this Agreement.

4.3 Each invoice for services rendered must include the TO Contractor's Federal Tax Identification Number which is **Federal ID number**. Charges for late payment of invoices other than as

prescribed by Title 15, Subtitle 1, of the State Finance and Procurement Article, Annotated Code of Maryland, as from time-to-time amended, are prohibited. Invoices must be submitted to Frank Vasilios, State Highway Administration – MS C-605, P.O. Box 717, Baltimore, MD 21202-0717.

- 4.4 In addition to any other available remedies, if, in the opinion of the TO Procurement Officer, the TO Contractor fails to perform in a satisfactory and timely manner, the TO Procurement Officer may refuse or limit approval of any invoice for payment, and may cause payments to the TO Contractor to be reduced or withheld until such time as the TO Contractor meets performance standards as established by the TO Procurement Officer.

IN WITNESS THEREOF, the parties have executed this TO Agreement as of the date hereinabove set forth.

TO CONTRACTOR NAME

By: Type or Print TO Contractor POC

Date

Witness: _____

STATE OF MARYLAND, STATE HIGHWAY ADMINISTRATION, OFFICE OF
INFORMATION TECHNOLOGY

By: Melissa S. Barnes, TO Procurement Officer

Date

Witness: _____

ATTACHMENT 4 – Conflict Of Interest Affidavit And Disclosure

A. "Conflict of interest" means that because of other activities or relationships with other persons, a person is unable or potentially unable to render impartial assistance or advice to the State, or the person's objectivity in performing the contract work is or might be otherwise impaired, or a person has an unfair competitive advantage.

B. "Person" has the meaning stated in COMAR 21.01.02.01B(64) and includes a bidder, Offeror, Contractor, consultant, or subcontractor or subconsultant at any tier, and also includes an employee or agent of any of them if the employee or agent has or will have the authority to control or supervise all or a portion of the work for which a bid or offer is made.

C. The bidder or Offeror warrants that, except as disclosed in §D, below, there are no relevant facts or circumstances now giving rise or which could, in the future, give rise to a conflict of interest.

D. The following facts or circumstances give rise or could in the future give rise to a conflict of interest (explain in detail—attach additional sheets if necessary):

E. The bidder or Offeror agrees that if an actual or potential conflict of interest arises after the date of this affidavit, the bidder or Offeror shall immediately make a full disclosure in writing to the procurement officer of all relevant facts and circumstances. This disclosure shall include a description of actions which the bidder or Offeror has taken and proposes to take to avoid, mitigate, or neutralize the actual or potential conflict of interest. If the contract has been awarded and performance of the contract has begun, the Contractor shall continue performance until notified by the procurement officer of any contrary action to be taken.

I DO SOLEMNLY DECLARE AND AFFIRM UNDER THE PENALTIES OF PERJURY THAT THE CONTENTS OF THIS AFFIDAVIT ARE TRUE AND CORRECT TO THE BEST OF MY KNOWLEDGE, INFORMATION, AND BELIEF.

Date: _____

By: _____
(Authorized Representative and Affiant)

SUBMIT THIS WITH THE TECHNICAL RESPONSE

ATTACHMENT 5 – Labor Classification Personnel Resume Summary

INSTRUCTIONS:

1. Master Contractors must comply with all personnel requirements under the Master Contract RFP 050R5800338.
2. Only labor categories proposed in the Master Contractors Technical proposal may be proposed under the CATS TORFP process.
3. For each person proposed in any of the labor categories, complete one Labor Category Personnel Resume Summary to document how the proposed person meets each of the minimum requirements.

For example: If you propose John Smith who is your subcontractor and you believe he meets the requirements of the Group Facilitator, you will complete the top section of the form by entering John Smith's name and the subcontractor's company name. You will then complete the right side of the Group Facilitator form documenting how the individual meets each of the requirements. Where there is a time requirement such as 3 months experience, you must provide the dates from and to showing an amount of time that equals or exceeds mandatory time requirement.

4. Each form also includes examples of duties to perform. The proposed person must be able to fulfill those duties.
5. For each subject matter expert, the State will identify the particular area of expertise and the Master Contractor shall provide proof the individual has qualifications within that area of expertise.
6. Additional information may be attached to each Labor Category Personnel Resume Summary that may assist a full and complete understanding of the individual being proposed.

ATTACHMENT 5
LABOR CLASSIFICATION PERSONNEL RESUME SUMMARY
(CONTINUED)

Proposed Individual's Name/Company:	How does the proposed individual meet each requirement?
LABOR CLASSIFICATION TITLE – (INSERT LABOR CATEGORY NAME)	
Education: (Insert the education description from the CATS RFP from section 2.12 for the applicable labor category.)	
Experience: (Insert the experience description from the CATS RFP from section 2.12 for the applicable labor category.)	
Duties: (Insert the duties description from the CATS RFP from section 2.12 for the applicable labor category.)	

The information provided on this form for this labor class is true and correct to the best of my knowledge:

Contractor's Contract Administrator:

 Signature Date

Proposed Individual:

 Signature Date

ATTACHMENT 6 – Directions to the Pre-TO Proposal Conference

Driving directions for MDOT Headquarters
7201 Corporate Center Dr.
Hanover, Md. 21076
Harry Hughes Conference Room

Due to Space Limitations and the potential for a large number of vendors attending, please limit attendance to one (1) person from each prime interested in submitting a proposal.

Baltimore:

From 695; Take Baltimore –Washington Parkway (295) south to I-195 towards the BWI airport. Take I-195 to Md. Rte 170 south towards Dorsey. Go to the fifth traffic light and turn left on Stoney Run rd. Take Stoney Run rd. through traffic light to stop sign. Turn left on Old Stoney Run Rd. Take Old Stoney Run Rd. to stop sign at Ridge Rd. and turn right. Take Ridge Rd. to the traffic circle and turn right on Corporate Center Dr. Take Corporate Center Dr. to 7201 on left side of road. Parking is on right side of road.

Washington:

From Baltimore-Washington Parkway (295); Take Baltimore-Washington Parkway North to I-195 and exit towards the BWI Airport (East). Take I-195 towards the BWI Airport to Md. Rte.170. Take Md. Rte. 170 south towards Dorsey. Go to the fifth traffic light and turn left on Stoney Run rd. Take Stoney Run rd. through traffic light to stop sign. Turn left on Old Stoney Run Rd. Take Old Stoney Run Rd. to stop sign at Ridge Rd. and turn right. Take Ridge Rd. to the traffic circle and turn right on Corporate Center Dr. Take Corporate Center Dr. to 7201 on left side of road. Parking is on right side of road.

Annapolis:

From I-97; Take I-97 North to Rte.100 towards Columbia (west). Take Rte. 100 to Rte 170 north towards BWI Airport. Take Rte. 170 to the third traffic light and turn right on Stoney Run Rd. Take Stoney Run rd. through traffic light to stop sign. Turn left on Old Stoney Run Rd. Take Old Stoney Run Rd. to stop sign at Ridge Rd. and turn right. Take Ridge Rd. to the traffic circle and turn right on Corporate Center Dr. Take Corporate Center Dr. to 7201 on left side of road. Parking is on right side of road.

ATTACHMENT 7 – NON-DISCLOSURE AGREEMENT (OFFEROR)

This Non- Disclosure Agreement (the "Agreement") is made this ___ day of _____ 200_, by and between _____ (hereinafter referred to as "the OFFEROR ") and the State of Maryland (hereinafter referred to as "the State").

OFFEROR warrants and represents that it intends to submit a TO Proposal in response to CATS TORFP # J02P6200017 for Oracle Database Administration Technical Services. In order for the OFFEROR to submit a TO Proposal, it will be necessary for the State to provide the OFFEROR with access to certain confidential information including, but not limited, to _____. All such information provided by the State shall be considered Confidential Information regardless of the form, format, or media upon which or in which such information is contained or provided, regardless of whether it is oral, written, electronic, or any other form, and regardless of whether the information is marked as "Confidential Information". As a condition for its receipt and access to the Confidential Information described in Section 1.7 of the TORFP, OFFEROR agrees as follows:

1. OFFEROR will not copy, disclose, publish, release, transfer, disseminate or use for any purpose in any form any Confidential Information received under Section 1.7, except in connection with the preparation of its TO Proposal.
2. Each employee or agent of the OFFEROR who receives or has access to the Confidential Information shall execute a copy of this Agreement and the OFFEROR shall provide originals of such executed Agreements to the State. Each employee or agent of the OFFEROR who signs this Agreement shall be subject to the same terms, conditions, requirements and liabilities set forth herein that are applicable to the OFFEROR.
3. OFFEROR shall return the Confidential Information to the State within five business days of the State's Notice of recommended award. If the OFFEROR does not submit a Proposal, the OFFEROR shall return the Confidential Information to Gisela Blades (TO Procurement Officer) Department of Budget and Management on or before the due date for Proposals.
4. OFFEROR acknowledges that the disclosure of the Confidential Information may cause irreparable harm to the State and agrees that the State may obtain an injunction to prevent the disclosure, copying, or other impermissible use of the Confidential Information. The State's rights and remedies hereunder are cumulative and the State expressly reserves any and all rights, remedies, claims and actions that it may have now or in the future to protect the Confidential Information and/or to seek damages for the OFFEROR'S failure to comply with the requirements of this Agreement. The OFFEROR consents to personal jurisdiction in the Maryland State Courts.
5. In the event the State suffers any losses, damages, liabilities, expenses, or costs (including, by way of example only, attorneys' fees and disbursements) that are attributable, in whole or in part to any failure by the OFFEROR or any employee or agent of the OFFEROR to comply with the requirements of this Agreement, OFFEROR and such employees and agents of OFFEROR shall hold harmless and indemnify the State from and against any such losses, damages, liabilities, expenses, and/or costs.
6. This Agreement shall be governed by the laws of the State of Maryland.
7. OFFEROR acknowledges that pursuant to Section 11-205.1 of the State Finance and Procurement Article of the Annotated Code of Maryland, a person may not willfully make a false or fraudulent statement or representation of a material fact in connection with a procurement contract. Persons making such statements are guilty of a felony and on conviction subject to a fine of not more than \$20,000 and/or imprisonment not exceeding 5 years or both. OFFEROR further acknowledges that this Agreement is a statement made in connection with a procurement contract.
8. The individual signing below warrants and represents that they are fully authorized to bind the OFFEROR to the terms and conditions specified in this Agreement. If signed below by an individual employee or agent of the OFFEROR under Section 2 of this Agreement, such individual acknowledges that a failure to comply with the requirements specified in this Agreement may result in personal liability.

OFFEROR: _____ BY: _____
NAME: _____ TITLE: _____
ADDRESS: _____

SUBMIT AS REQUIRED IN SECTION 1.7 OF THE TORFP

ATTACHMENT 8 – NON-DISCLOSURE AGREEMENT (TO CONTRACTOR)

THIS NON-DISCLOSURE AGREEMENT (“Agreement”) is made as of this ___ day of _____, 200__, by and between the State of Maryland (“the State”), acting by and through its State Highway Administration (the “Department”), and _____ (“TO Contractor”), a corporation with its principal business office located at _____ and its principal office in Maryland located at _____.

RECITALS

WHEREAS, the TO Contractor has been awarded a Task Order Agreement (the “TO Agreement”) for Oracle Database Administration Technical Services, TORFP No. J02P6200017 dated **release date for TORFP**, (the “TORFP” issued under the Consulting and Technical Services procurement issued by the Department, Project Number 050R5800338; and

WHEREAS, in order for the TO Contractor to perform the work required under the TO Agreement, it will be necessary for the State to provide the TO Contractor and the TO Contractor’s employees and agents (collectively the “TO Contractor’s Personnel”) with access to certain confidential information regarding _____ (the “Confidential Information”).

NOW, THEREFORE, in consideration of being given access to the Confidential Information in connection with the TORFP and the TO Agreement, and for other good and valuable consideration, the receipt and sufficiency of which the parties acknowledge, the parties do hereby agree as follows:

1. Confidential Information means any and all information provided by or made available by the State to the TO Contractor in connection with the TO Agreement, regardless of the form, format, or media on or in which the Confidential Information is provided and regardless of whether any such Confidential Information is marked as such. Confidential Information includes, by way of example only, information that the TO Contractor views, takes notes from, copies (if the State agrees in writing to permit copying), possesses or is otherwise provided access to and use of by the State in relation to the TO Agreement.
2. TO Contractor shall not, without the State’s prior written consent, copy, disclose, publish, release, transfer, disseminate, use, or allow access for any purpose or in any form, any Confidential Information provided by the State except for the sole and exclusive purpose of performing under the TO Agreement. TO Contractor shall limit access to the Confidential Information to the TO Contractor’s Personnel who have a demonstrable need to know such Confidential Information in order to perform under the TO Agreement and who have agreed in writing to be bound by the disclosure and use limitations pertaining to the Confidential Information. The names of the TO Contractor’s Personnel are attached hereto and made a part hereof as Exhibit A. Each individual whose name appears on Exhibit A shall execute a copy of this Agreement and thereby be subject to the terms and conditions of this Agreement to the same extent as the TO Contractor. TO Contractor shall update Exhibit A by adding additional names as needed, from time to time.
3. If the TO Contractor intends to disseminate any portion of the Confidential Information to non-employee agents who are assisting in the TO Contractor’s performance of the TORFP or who will otherwise have a role in performing any aspect of the TORFP, the TO Contractor shall first obtain the written consent of the State to any such dissemination. The State may grant, deny, or condition any such consent, as it may deem appropriate in its sole and absolute subjective discretion.
4. TO Contractor hereby agrees to hold the Confidential Information in trust and in strictest confidence, to adopt or establish operating procedures and physical security measures, and to take all other measures necessary to protect the Confidential Information from inadvertent release or disclosure to unauthorized third parties and to prevent all or any portion of the Confidential Information from falling into the public domain or into the possession of persons not bound to maintain the confidentiality of the Confidential Information.
5. TO Contractor shall promptly advise the State in writing if it learns of any unauthorized use, misappropriation, or disclosure of the Confidential Information by any of the TO Contractor’s Personnel or the TO Contractor’s former Personnel. TO Contractor shall, at its own expense, cooperate with the State in seeking injunctive or other equitable relief against any such person(s).
6. TO Contractor shall, at its own expense, return to the Department, all copies of the Confidential Information in its care, custody, control or possession upon request of the Department or on termination of the TO Agreement.
7. A breach of this Agreement by the TO Contractor or by the TO Contractor’s Personnel shall constitute a breach of the TO Agreement between the TO Contractor and the State.

8. TO Contractor acknowledges that any failure by the TO Contractor or the TO Contractor's Personnel to abide by the terms and conditions of use of the Confidential Information may cause irreparable harm to the State and that monetary damages may be inadequate to compensate the State for such breach. Accordingly, the TO Contractor agrees that the State may obtain an injunction to prevent the disclosure, copying or improper use of the Confidential Information. The TO Contractor consents to personal jurisdiction in the Maryland State Courts. The State's rights and remedies hereunder are cumulative and the State expressly reserves any and all rights, remedies, claims and actions that it may have now or in the future to protect the Confidential Information and/or to seek damages from the TO Contractor and the TO Contractor's Personnel for a failure to comply with the requirements of this Agreement. In the event the State suffers any losses, damages, liabilities, expenses, or costs (including, by way of example only, attorneys' fees and disbursements) that are attributable, in whole or in part to any failure by the TO Contractor or any of the TO Contractor's Personnel to comply with the requirements of this Agreement, the TO Contractor shall hold harmless and indemnify the State from and against any such losses, damages, liabilities, expenses, and/or costs.

9. TO Contractor and each of the TO Contractor's Personnel who receive or have access to any Confidential Information shall execute a copy of an agreement substantially similar to this Agreement and the TO Contractor shall provide originals of such executed Agreements to the State.

10. The parties further agree that:
 - a. This Agreement shall be governed by the laws of the State of Maryland;
 - b. The rights and obligations of the TO Contractor under this Agreement may not be assigned or delegated, by operation of law or otherwise, without the prior written consent of the State;
 - c. The State makes no representations or warranties as to the accuracy or completeness of any Confidential Information;
 - d. The invalidity or unenforceability of any provision of this Agreement shall not affect the validity or enforceability of any other provision of this Agreement;
 - e. Signatures exchanged by facsimile are effective for all purposes hereunder to the same extent as original signatures; and
 - f. The Recitals are not merely prefatory but are an integral part hereof.

Contractor/Contractor's Personnel:

State Highway Administration:

Name: _____

Name: _____

Title: _____

Title: _____

Date: _____

Date: _____

SUBMIT AS REQUIRED IN SECTION 1.7 OF THE TORFP

EXHIBIT A

**TO CONTRACTOR'S EMPLOYEES AND AGENTS WHO WILL BE GIVEN ACCESS TO THE
CONFIDENTIAL INFORMATION**

**Printed Name and Address
of Employee or Agent**

Signature

Date

_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

ATTACHMENT 9 – PERFORMANCE EVALUATION

DEPENDABILITY		Far Exceeds	Exceeds	Meets	Below	Far Below	Raw Score
Lateness, Punctuality		5		3	2	1	+
Compliance with TO Manager's Requirements for Pre-Approval of Leave		5		3	2	1	+
Total Raw Score							=
Total Raw Score		10		6 - 5	4 - 3	2	
Rating for Dependability		Far Exceeds	Exceeds	Meets	Below	Far Below	
INITIATIVE		Far Exceeds	Exceeds	Meets	Below	Far Below	Raw Score
Contribution		5	4	3	2	1	+
Advancement in the field		5	4	3	2	1	+
Total Raw Score							=
Total Raw Score		10 - 9	8 - 7	6 - 5	4 - 3	2	
Rating for Initiative		Far Exceeds	Exceeds	Meets	Below	Far Below	
INTERPERSONAL RELATIONSHIPS		Far Exceeds	Exceeds	Meets	Below	Far Below	Raw Score
Customer Service		5	4	3	2	1	+
Communication		5	4	3	2	1	+
Cooperation				3	2	1	+
Tact				3	2	1	+
Adaptability to Change		5	4	3	2	1	+
Total Raw Score							=
Total Raw Score		21 - 20	19 - 17	16 - 13	12 - 8	7 - 5	
Rating for Interpersonal Relationships		Far Exceeds	Exceeds	Meets	Below	Far Below	
WORK HABITS		Far Exceeds	Exceeds	Meets	Below	Far Below	Raw Score
Meeting Target & Timetables		5	4	3	2	1	+
Communication with TO Manager		5	4	3	2	1	+
Use of Time		5	4	3	2	1	+
Organization of Work Environment		5		3	2	1	+
Total Raw Score							=
Total Raw Score		20 - 18	17 - 14	13 - 10	9 - 6	5 - 4	
Rating for Work Habits		Far Exceeds	Exceeds	Meets	Below	Far Below	

Attachment 9 Continued
Performance Evaluation

JOB KNOWLEDGE		Far Exceeds	Exceeds	Meets	Below	Far Below	Raw Score
Policies, Procedures, Practices		5	4	3	2	1	+
Organizational Skills		5	4	3	2	1	+
Equipment / Technology		5	4	3	2	1	+
Terminology		5	4	3	2	1	+
Total Raw Score							=
Total Raw Score	20 - 18	17 - 14	13 - 10	9 - 6	5 - 4		
Rating for Job Knowledge	Far Exceeds	Exceeds	Meets	Below	Far Below		
JOB QUALITY		Far Exceeds	Exceeds	Meets	Below	Far Below	Raw Score
Timely Completion of Assignments		5	4	3	2	1	+
Problem Solving		5	4	3	2	1	+
Accuracy		5	4	3	2	1	+
Work Process / Product / Services		5	4	3	2	1	+
Working Under Pressure		5	4	3	2	1	+
Total Raw Score							=
Total Raw Score	25 - 23	22 - 18	17 - 13	12 - 8	7 - 5		
Rating for Job Quality	Far Exceeds	Exceeds	Meets	Below	Far Below		
JOB QUANTITY		Far Exceeds	Exceeds	Meets	Below	Far Below	Raw Score
Volume of Work		5	4	3	2	1	+
Total Raw Score							=
Total Raw Score	5	4	3	2	1		
Rating for Job Quantity	Far Exceeds	Exceeds	Meets	Below	Far Below		

Attachment 9 Continued
Performance Evaluation

DEPENDABILITY	Evaluation				
	Far Exceeds Standards	Exceeds Standards	Meets Standards	Below Standards	Far Below Standards
Lateness, Punctuality	No lateness, always punctual		Consistently punctual, an occasional lateness with no impact upon operations	Inconsistent in punctuality, <u>or</u> latenesses have impact upon operations	Frequently not punctual, <u>or</u> latenesses have adverse impact upon operations
Compliance with TO Manager's Requirements for Pre-Approval of Leave	Always complies with TO Manager's requirements for pre-approval of leave		Usually complies with TO Manager's requirements	Inconsistent in compliance with requirements; minor violations of requirements	Frequently does not comply with requirements; several minor violations <u>or</u> a major infraction of requirements

Attachment 9 Continued
Performance Evaluation

INITIATIVE	Evaluation				
	Far Exceeds Standards	Exceeds Standards	Meets Standards	Below Standards	Far Below Standards
Contribution	Always participates in problem solving and/or making operational improvements; contributes constructive ideas and suggestions that have major impact	Consistently participates in problem solving and/or making operational improvements; contributes constructive ideas and suggestions that are implemented	Frequently participates in problem solving and/or making operational improvements; contributes ideas and suggestions	Occasionally participates in problem solving and/or making operational improvements; rarely contributes ideas and suggestions	Rarely participates in problem solving and/or making operational improvements; never contributes ideas and suggestions
Advancement in the Field	Has applied concepts learned in training to improve operations of the organization/unit	Anticipates new technology or processes and plans training to improve knowledge and skills	Pursues training to maintain current certifications in technology or processes	Does not pursue training <u>or</u> learning new technology or processes but accepts training if assigned	Declines offers for training <u>or</u> to learn new technology or processes

Attachment 9 Continued
Performance Evaluation

INTERPERSONAL RELATIONSHIPS	Evaluation				
	Far Exceeds Standards	Exceeds Standards	Meets Standards	Below Standards	Far Below Standards
Customer Service	Consistently goes beyond the requirements to ensure that customer needs are met; consistently anticipates service needs of customers; consistently provides additional information or aid without request	Frequently goes beyond the requirements to ensure that customer needs are met; frequently anticipates service needs of customers; frequently provides additional information or aid without request	Always courteous and congenial with external and internal customers; provides requested assistance and information to others in a prompt and courteous manner	Marginally courteous; provides requested assistance and information to others in a less than prompt <u>or</u> courteous manner	Occasionally discourteous; occasionally does not provide assistance and information to others in a prompt <u>or</u> courteous manner
Communication	Facilitates clear and effective communication among involved parties; accurately interprets and transmits communications	Communicates clearly and concisely with a high degree of accuracy	Communicates openly; participates in team discussions	Rarely communicates openly; rarely participates in team discussion	Communicates ineffectively and unclearly
Cooperation			Actively cooperates with others to achieve goals of the organization; readily accepts direction from supervisors; supports team leader; develops and maintains cooperative working relationships with team and with others inside and outside the work unit	Reluctantly cooperates with others to achieve goals of the organization; reluctantly accepts direction from supervisors; minimally supports team leader; rarely develops and maintains co-operative working relationships with team <u>or</u> with others inside and outside the work unit	Uncooperative with others to achieve goals of the organization; resistant to direction from supervisors; rarely supports team leader; seldom develops and maintains co-operative working relationships with team <u>or</u> with others inside and outside the work unit

Attachment 9 Continued
Performance Evaluation

INTERPERSONAL RELATIONSHIPS (Continued)					
	Far Exceeds Standards	Exceeds Standards	Meets Standards	Below Standards	Far Below Standards
Tact			Consistently polite, respectful of others; considers the viewpoints of others; has a positive effect on people	Marginally polite and respectful; reluctantly considers the viewpoint of others	Rude and disrespectful; infrequently considers viewpoint of others; has a negative effect on people
Adaptability To Change	Presents positive outlook on changes and adjustments to work assignments or procedures; always includes suggestions or solutions as part of constructive criticism; motivation and productivity unaffected by unanticipated changes	Readily accepts change and adjustments to work assignments or procedures; usually makes suggestions or solutions as part of constructive criticism; motivation and productivity minimally affected by unanticipated changes	Accepts changes and adjustments to work assignments or procedures; criticizes constructively; cooperative in dealing with unanticipated changes	Does not easily accept changes and adjustments to work assignments or procedures; criticism not always constructive; not generally cooperative in dealing with unanticipated changes	Resistant to changes and adjustments to work; criticisms are not warranted; uncooperative in dealing with unanticipated changes

changes
Evaluation

Attachment 9 Continued
Performance Evaluation

WORK HABITS	Evaluation				
	Far Exceeds Standards	Exceeds Standards	Meets Standards	Below Standards	Far Below Standards
Meeting Targets & Timetables	Performs at levels better than targets; early with timetables and deadlines	Always meets targets, timetables and deadlines; always prompt and prepared for meetings and other scheduled events	Consistently meets targets, timetables and deadlines; consistently prompt and prepared for meetings and other scheduled events	Inconsistent in meeting targets, timetables <u>or</u> deadlines; inconsistent in promptness <u>or</u> preparation for meetings <u>or</u> other scheduled events	Frequently does not meet targets, timetables, <u>or</u> deadlines; frequently lacks promptness <u>or</u> preparation for meetings <u>or</u> other scheduled events
Communication with TO Manager	Anticipates developments or delays making appropriate adjustments; works independently with little or no supervision	Always keeps TO Manager informed of key developments; responds quickly and appropriately to unanticipated delays or developments; works independently with minimal supervision	Consistently keeps TO Manager informed of key developments and/or delays; responds to routine developments appropriately; works with general supervision	Inconsistent in keeping TO Manager informed of delays <u>or</u> developments; some routine developments require supervisory guidance; requires close supervision	Frequently does not keep TO Manager informed of developments <u>or</u> delays; routine developments often require supervisory guidance; requires constant supervision
Use of Time	Completes all regular assigned work plus additional assignments; plans productive activities in advance to fill any idle time	Usually completes additional assigned work and completes all regularly assigned duties; finds productive activities to fill any idle time	Completes all assigned work in time allocated; use of idle time does not interfere with work of others	Inconsistent in completing assigned work in time allocated; seldom completes additional tasks	Frequently does not perform regularly assigned work in time allocated; use of idle time negatively impacts work
Organization of Work Environment	Always maintains clean, organized work environment; always practices, maintains and promotes safe work habits; always properly maintains and cares for equipment		Consistently maintains clean, organized work environment; consistently practices and maintains safe work habits; consistently maintains and cares for equipment properly	Inconsistent in maintaining clean, organized work environment; inconsistent in practicing <u>or</u> maintaining safe work habits; inconsistent in properly maintaining <u>or</u> caring for equipment	Frequently does not maintain clean, organized work environment; frequently does not practice safe work habits; frequently does not properly maintain <u>or</u> care for equipment

Attachment 9 Continued
Performance Evaluation

JOB KNOWLEDGE	Evaluation				
	Far Exceeds Standards	Exceeds Standards	Meets Standards	Below Standards	Far Below Standards
Policies/ Procedures/ Practices	Appropriately uses and interprets correct policies, procedures, and practices and frequently makes recommendations to improve them	Appropriately uses and interprets correct policies, procedures, and practices and occasionally makes recommendations to improve them	Appropriately uses correct policies, procedures, and practices	Inconsistently uses correct policies, procedures, and practices	Rarely uses correct policies, procedures, and practices
Organizational Skills	Systematically and innovatively manages activities, information and resources and makes recommendations for improvement	Systematically manages activities, information and resources and makes some recommendations for improvement	Proficiently manages activities, information and resources	Ineffectively manages some activities, information and resources	Rarely manages activities, information and resources
Equipment/ Technology	Develops and uses innovative applications of equipment/technology	Familiar with and appropriately uses equipment/technology	Basic familiarity with equipment/technology	Some understanding of the administration's or unit's equipment/technology	Little or no understanding of the administration's or unit's equipment/technology
Terminology	Appropriately uses and clearly explains terminology of the administration and unit; keeps abreast of new concepts and terminology	Familiar with and appropriately uses terminology of the administration and unit	Basic familiarity with terminology of the administration and unit	Some understanding of the administration's or unit's terminology	Little or no understanding of the administration's or unit's terminology

Attachment 9 Continued
Performance Evaluation

JOB QUALITY	Evaluation				
	Far Exceeds Standards	Exceeds Standards	Meets Standards	Below Standards	Far Below Standards
Completion of Assignments	Works independently with broad direction and little or no follow up; self-motivated to complete assignments	Independently completes assignments with minimal direction and follow up	Independently completes assignments with routine supervision	Occasionally unable to complete assignments independently; requires frequent supervision and follow up	Requires direct supervision while performing all aspects of routine assignments
Problem Solving	Anticipates potential problems and acts accordingly; makes an effort to prevent recurring problems	Recognizes and analyzes complex problems and takes appropriate action or recommends effective, creative solutions	Recognizes and analyzes routine problems and takes appropriate action	Occasionally recognizes problems; experiences some difficulty with analysis; requires some assistance to develop workable solutions	Rarely recognizes problems; experiences extreme difficulty with analysis; recommends ineffective solutions or unable to recommend solutions
Accuracy	Work performed at the highest level of accuracy; errors extremely rare, always minor	Work performed at a high level of accuracy; errors usually minor in nature	Work performed at an acceptable level of accuracy	Work performed occasionally at an unacceptable level of accuracy; frequent errors	Work performed with frequent and recurrent errors in routine assignments
Work Process/ Product/Services	Develops highest quality work product or demonstrates highest quality of services	Thoroughly researches, analyzes, and prepares high quality work product or provides high quality services	Thoroughly researches and efficiently prepares product at acceptable standards or provides services at acceptable standards	Has difficulty with work process/product/services; occasionally unable to meet an acceptable standard of quality	Rarely meets acceptable standards of quality
Working Under Pressure	Efficiently and effectively performs all assignments regardless of distractions or pressure situations	Frequently handles difficult pressure situations and distractions without affecting performance; reprioritizes workload as needed	Appropriately handles routine pressure situations and distractions of the job while maintaining normal workload	Low tolerance to some pressure situations or distractions which hinder job performance	Rarely able to work under pressure situations or handle distractions

Attachment 9 Continued
Performance Evaluation

JOB QUANTITY	Evaluation				
	Far Exceeds Standards	Exceeds Standards	Meets Standards	Below Standards	Far Below Standards
Volume of Work	Always produces more than required	Frequently produces more than required	Produces the required volume of work	Occasionally fails to meet requirements	Rarely meets requirements

